



GoDurham Bus Safety

May 2023

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Date: May 22, 2023
To: Audit Services Oversight Committee
From: Germaine Brewington, Director of Audit Services
Subject: GoDurham Bus Safety Performance Audit

The Audit Services Department staff completed the report for the GoDurham Bus Safety Performance Audit dated May 2023. The purposes of this audit were to: 1) review processes in place for reporting and reviewing safety incidents related to GoDurham buses; and 2) review steps taken by GoDurham to address elements contributing to collisions and injuries involving buses (for example, safety training).

This report presents the observations and results of the GoDurham Bus Safety Performance Audit. Three (3) recommendations were proposed. In response to these audit recommendations, City Management concur with the recommendations made. The detailed Management Response to the recommendations is included in the attached report.

The Audit Services Department staff would like to acknowledge the contributions of staff from the Department of Transportation and GoDurham for providing information to enable the audit process.

GoDurham Bus Safety Performance Audit

May 2023

Objectives

The objectives of the audit were to:

- 1) review processes in place for reporting and reviewing safety incidents related to GoDurham buses; and
- 2) review steps taken by GoDurham to address elements contributing to collisions and injuries involving buses.

Background

The City of Durham entered the transit business in 1991, when it assumed responsibility for the transit system previously operated by Duke Power Company. GoDurham is the public transit system serving the City and currently operates 24 bus routes. Service is provided seven days a week and average weekday ridership for FY2023 to date is 16,980. Currently GoDurham is fare-free until summer 2023.

REPORT HIGHLIGHTS

Processes are in place for reporting and reviewing safety incidents on GoDurham buses. However, room exists to strengthen these processes in the following areas:

- 1) Training: Standard operating procedures (SOP) should be developed for new hire training requirements. The SOP should also require periodic refresher training to be offered.
- 2) Incident-related training (retraining): SOPs should be developed for retraining which is offered to bus drivers as needed, based on safety incidents or observations made by a supervisor. The training provided should be documented and safety points allocations should be monitored and documented.
- 3) The process of evaluating incidents to determine preventability should be clearly established and documented. Furthermore, analysis of non-preventable incidents should also be documented.

WHY THIS AUDIT IS IMPORTANT

Transit companies should have a safety culture so that risks to bus safety are managed proactively and to a high standard. This audit will help ensure that GoDurham has processes in place where people actively learn from incidents to continually improve safety outcomes. Systematic analysis of incidents should be undertaken, to include the monitoring of patterns and trends as well as identifying root causes of incidents.

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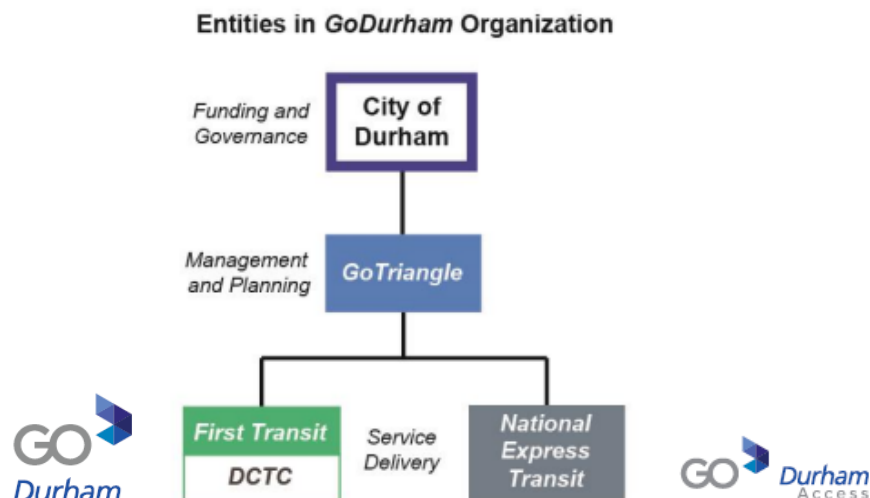
BACKGROUND

The City of Durham entered the transit business in 1991, when it assumed responsibility for the transit system previously operated by Duke Power Company. GoDurham is the public transit system serving the City and currently operates 24 bus routes. Service is provided seven days a week, and the average weekday ridership for FY2023 as of March 2023 is 16,980. Currently GoDurham is fare-free until summer 2023.

The Organization

Transit services funded by the City of Durham are referred to as GoDurham. Since 2010, GoTriangle has managed the maintenance and operations of the GoDurham and GoDurham ACCESS (paratransit) services through an interlocal agreement with the City. The management and operations of the GoDurham ACCESS services is provided through a turnkey contract with National Express Transit. The management oversight of GoDurham is provided through a third-party contractor (First Transit) to hold ownership of the Durham City Transit Company (DCTC). This contract structure is necessary in order to enable union-represented transit employees to collectively bargain, as North Carolina General Statute (NCGS) Chapter 95, Article 12 prohibits local governments from bargaining with unions over the terms and conditions of their members' employment. The contractor employs all staff and is responsible for collective bargaining with the Amalgamated Transit Union (ATU). See Figure 1 below for the organization description.

Figure 1: Funding and Contractual Relationships Among Legal Entities in the GoDurham Organization.



The City's Department of Transportation is responsible for providing oversight and represents the City's and public's interests in the provision of transportation services.

Staff & Training

GoDurham has several key positions related to bus safety on each shift.

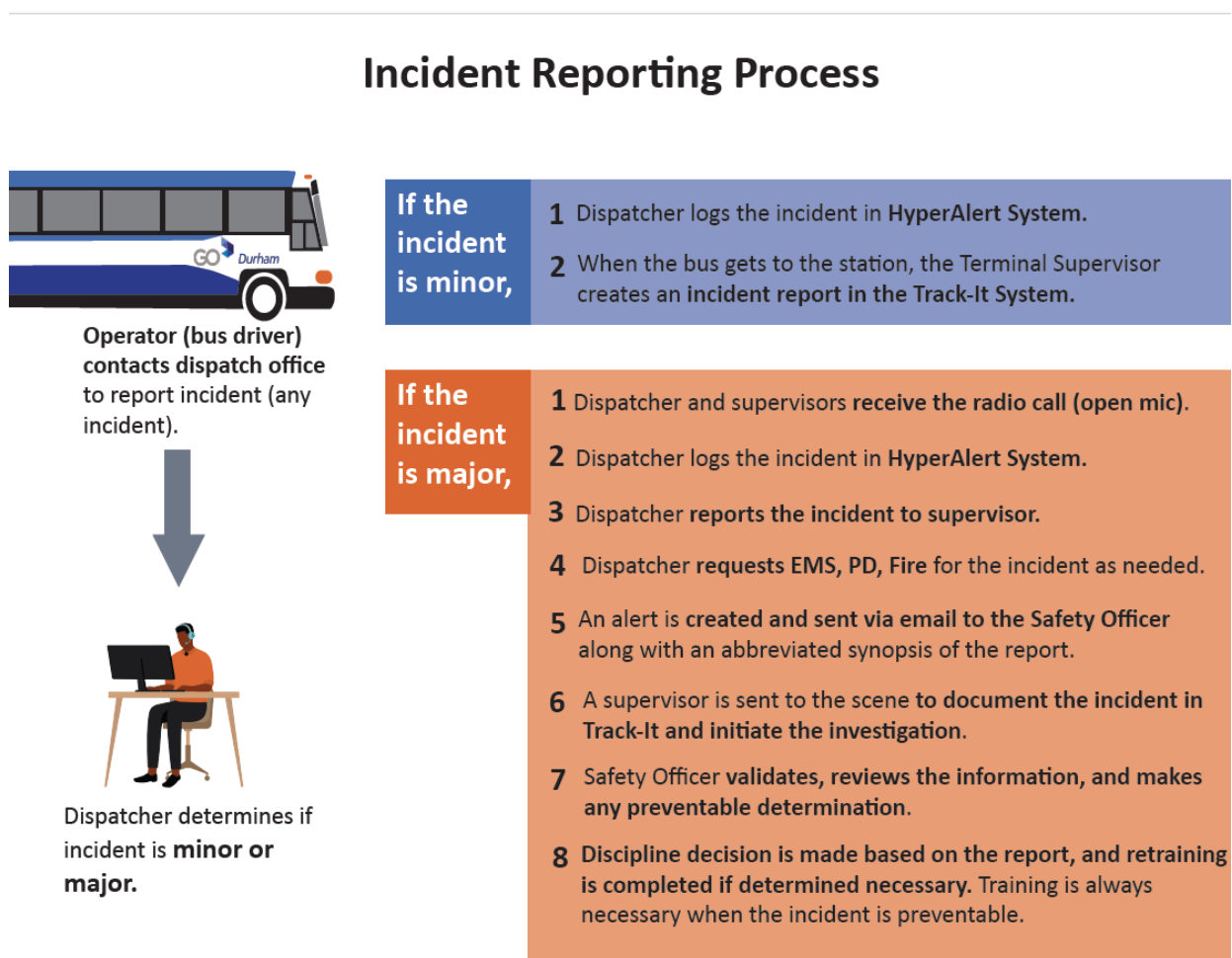
1. The Safety Officer oversees, investigates, and evaluates safety incidents.
2. The Supervisors (Road Supervisor, Dispatch Supervisor and Terminal Supervisor) are the first line of management and are responsible for overseeing bus drivers, inspecting routes for potential risks, and collecting information on safety events, among other functions.
3. Bus Operators (Bus Drivers) are responsible for bus operations.

Bus drivers are required to have a Commercial Driver's License (CDL) to operate a passenger bus. GoDurham bus drivers receive new driver training and incident related training. New driver training is mandatory and utilizes the Transit Operator Development Syllabus which consists of classroom and behind the wheel training. Incident-related training is offered as needed based on incidents or observations from Road Supervisors.

Safety Incidents

GoDurham has an established process for reporting incidents. Any occurrence involving a passenger while under the care, custody, and control of GoDurham and its employees is considered an incident. In addition, any contact between a bus and a person, vehicle or object is also considered an incident whether there was damage or injury. Figure 2 below outlines the bus incident reporting process.

Figure 2: Bus Incident Reporting Process



When a bus safety incident occurs, the bus driver contacts the dispatch office by radio to report the incident. The dispatcher logs the incident in HyperAlert, an alert system that sends notifications to supervisors and other key safety personnel. The dispatcher makes a preliminary determination of whether the incident is major, or minor based on information received from the bus driver.

An incident is considered major when it occurs in a transit vehicle and involves one or more of the following:

- Fatality;
- Vehicle contact with pedestrian(s);
- Any injury requiring immediate medical attention away from the scene; and
- Property damage of at least \$25,000.

All other incidents that do not meet the definition of a major incident are classified as minor.

A major incident might require EMS, police, or fire services to be dispatched to the scene. A Road Supervisor is also dispatched to the incident and he or she documents the incident in the Track-It system and initiates the investigation. Track-It is the system used to capture incident details, including incident location, bus number, bus driver name, names of passenger(s) involved, pictures and description of the incident, and if vehicles or passengers needed to be transported. The supervisor assigned to the incident fills out a Federal Transit Authority (FTA) Post Accident Drug and Alcohol Testing Decision Making Form to determine if drug and alcohol tests are needed. After the report is completed, it is sent by e-mail to the Safety Officer along with a synopsis of the report.

A minor incident is usually logged into the HyperAlert system and when the bus reaches the station, the Terminal Supervisor creates an incident report in the Track-It system.

The Safety Officer validates, reviews, and investigates the information collected in the report to determine if the safety incident was preventable or non-preventable. If the incident is determined to have been preventable, a Letter of Determination containing the basis for the classification is created. If the incident is classified as non-preventable a Letter of Determination is not created.

Based on conversations with GoDurham staff, if a safety incident is determined to be preventable, the bus driver is retrained. Furthermore, the GoDurham Employee Handbook and Employment Guidelines (January 2022) states that employees including bus drivers are subject to

a Safety Points Program rating which assesses cumulative points for at-risk safety behaviors or actions. Any employee involved in a preventable incident will be subject to retraining and/or discipline up to and including termination based on the Safety Points Program.

Regulation

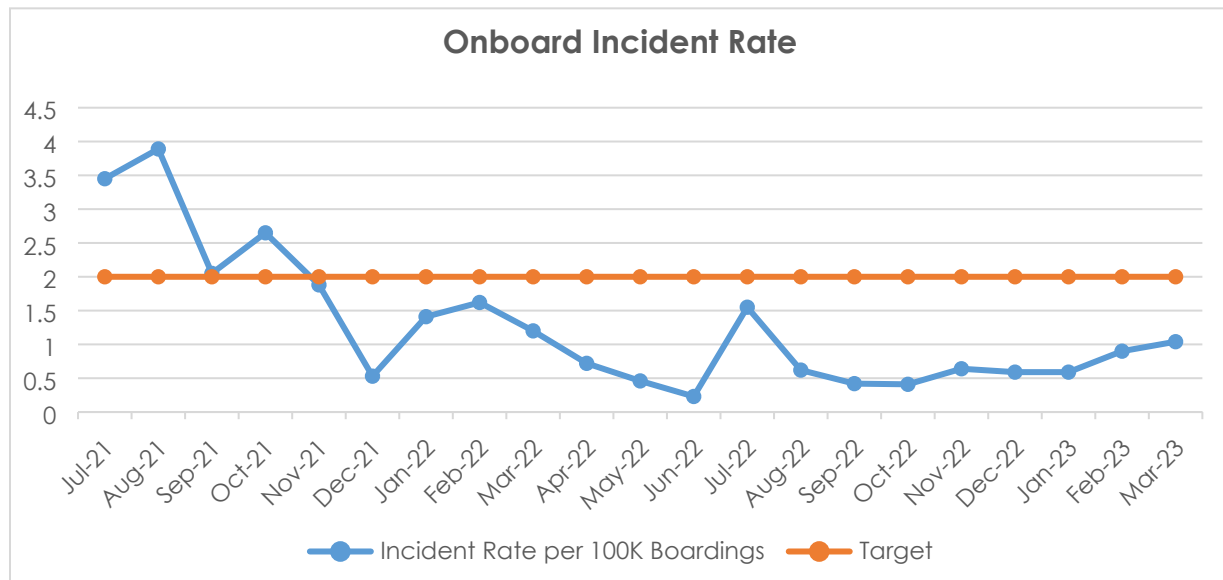
In 1974, Congress established the National Transit Database (NTD) to be the Nation's primary source for information and statistics on the transit systems of the United States. Title 49 U.S.C. 5335(a) requires that recipients or beneficiaries of grants from the Federal Transit Administration (FTA) under the Urbanized Area Formula Program (§5307) or Other than Urbanized Area (Rural) Formula Program (§5311) submit data to the NTD. Approximately 850 transit providers in urbanized areas (UZAs) currently report to the NTD through the Internet-based reporting system. Each recipient of a grant under this chapter submits the following reports:

1. **Safety and Security CEO Certification Form (S&S-20)**
The Safety and Security CEO Certification Form (S&S-20) is a letter, approved by the transit agency's chief executive officer (CEO) that certifies and attests to safety and security data submitted in the previous year's reports.
2. **Security Configuration Form (S&S-30)**
The Security Configuration Form (S&S-30) is used to collect information on the number and type of police and/or security personnel at a transit agency. This form is completed annually at the beginning of the calendar year.
3. **Major Event Report Form (S&S-40)**
The Major Event Report Form (S&S-40) is designed to capture detailed information on the most severe safety and security incidents occurring in the transit environment.
4. **Non-Major Summary Report Form (S&S-50)**
The Non-Major Summary Report Form (S&S-50) is designed to collect information on less severe safety-related incidents that are gathered on the Major Event Report Form (S&S-40).

The Department of Transportation is responsible for submitting the reporting requirements to the National Transit Database (NTD). The Department of Transportation staff receive the information to be reported from GoDurham staff and submit the information to NTD's website.

Graph 1 below shows actual onboarding incident rates per 100,000 boardings (in blue) and the targeted rates for those incidents from July 2021 through March 2023. Based on information in Graph 1 the incident rate has decreased from July 2021 and has remained under the target rate over the past year.

Graph 1: Onboard Incident Rate July 2021 – March 2023



OBJECTIVES

The objectives of the audit were to: 1) review processes in place for reporting and reviewing safety incidents related to GoDurham buses; and 2) review steps taken by GoDurham to address elements contributing to collisions and injuries involving buses.

FINDINGS AND RECOMMENDATIONS

Based on testing performed by Audit Services staff, some controls are in place over GoDurham bus safety, however, there is room for strengthening controls. Some of the controls in place include:

- Incidents are logged into HyperAlert and communicated to key staff;
- Incident reports are captured in the Track-It system;
- A Dispatcher Supervisor Handbook, Road Supervisor Handbook and Terminal Supervisor Handbook exist, and supervisors are knowledgeable of their tasks;
- An Employee Handbook and Employment Guidelines exists;
- Bus drivers are required to receive new hire training;
- Drug and alcohol tests are performed when required.

In addition, the City, through the Department of Transportation, is in compliance with NTD Federal reporting requirements.

Opportunity exists for improvement in the areas identified by the findings below.

The City is in compliance with the NTD Federal reporting requirements.

Finding 1. Training processes need strengthening.

At present, training and retraining requirements for new hires are not formally documented. As per GoDurham staff, new hire drivers receive over 160 hours of training. Once the new driver starts working, evaluations are performed at the 30 days, 90 days, and six (6) months intervals. Training records are kept as paper files in the GoDurham office and are retained five (5) years after the employee is no longer with the organization. In addition, per the Safety Officer, bus drivers are not retrained on a regular proactive basis.

Incident related training (retraining) is offered to bus drivers as needed, based on safety incidents or observations made by a supervisor. Audit Services staff selected a judgmental sample of twenty-five (25) safety incident reports from the Track-It system and tested those reports to

Room exists for improvements of controls over training, retraining and the point allocation process.

ensure retraining was offered for safety incidents classified preventable. Thirteen (13) out of twenty-five (25) safety incidents were classified as preventable. For three (3) or 23% of the thirteen incidents classified as preventable, evidence of retraining was not available to the Audit Services staff for verification. For the remaining ten preventable incidents, some evidence of training was available; however, documentation did not sufficiently outline the related incident the training was provided for and what training was provided.

The Safety Officer also reviews safety points if the bus driver is involved in a safety incident and the incident is preventable. Based on testing performed, points allocated are not tracked in a manner which enables the Safety Officer to identify the specific incidents that caused the points and when they were allocated in the rolling year. A spreadsheet with the employee names is maintained with a column next to the name to capture the points that the bus driver has received. The spreadsheet does not include the date when the points were allocated, nor the incident related to the allocated points. As a result, for those thirteen preventable incidents, Audit Services staff could not verify that the safety points were allocated as required per the Safety Points System. The current documentation does not allow for adequate monitoring of the issuance of safety points.

Per the Employee Handbook and Employment Guidelines (January 2022), if a bus driver is involved in a safety incident and the incident is classified as preventable, safety points will be assigned to the bus driver in the following manner as detailed in Figure 3 below:

Figure 3: Safety Points System

| Incident | Points |
|--|--------|
| GoDurham Citation for an unsafe maneuver(s) or act | 1 |
| Failure to cycle wheelchair lift or do a proper Vehicle Inspection (DVI) | 1 |
| Failure to report traffic citations | 1 |
| Passenger related incident | 2 |
| Conviction of a minor traffic violation | 2 |
| Minor preventable incident | 2 |
| Backing incident | 2 |
| Improper securing of a company vehicle | 3 |
| Failure to stop at a RR crossing | 3 |
| Major preventable incident that does not involve serious injury, death and/or property damage more than \$25,000 | 4 |
| Major preventable incident with serious injury, death and/or property damage more than \$25,000 | 6 |
| Failure to properly secure/transport a mobility device | 6 |
| Failure to immediately report a citation or incident in a company vehicle | 6 |
| Tampering with, disabling, or otherwise interfering with vehicle cameras or other monitoring equipment | 6 |
| Conviction of a major traffic violation. | 6 |

In any rolling twelve (12) months period of employment, receipt of six (6) or more points will result in a Safety Points Hearing to determine the facts and consider what level of discipline is warranted. In addition, three (3) separate safety incidents in any rolling one (1) year period will result in termination, regardless of the employee's total point count.

The training process should be documented to provide adequate guidance. Also, data on training provided as well as safety points assigned should be adequately documented to ensure adherence with the Employee Handbook and Employment Guidelines (January 2022).

Best practices suggest standard operating procedures and adequate documentation be in place to eliminate uncertainty and to produce a standardized outcome.

Not having adequate documentation of the training process limits the organization's ability to ensure adequate training is being provided.

Recommendation 1: The Department of Transportation in conjunction with GoDurham management should create standard operating procedures outlining training requirements. The SOP should address the following:

- New hire training requirements;
- Incident related training requirements;
- Refresher periodic training requirements;
- Documentation to be retained to support the training and retraining provided to employees. Documentation should capture what type of training was provided (behind the wheel, closed circuit, empty bus) date, time, and the preventable incident that triggered the training;
- Process of monitoring the Safety Points Allocation System; and
- Documentation pertaining to the Safety Points Allocation System to identify the points and the related incident that triggered the points.

Value Added: Risk Reduction, Compliance, Efficiency

**DEPARTMENTAL RESPONSE: MANAGEMENT CONCURS;
IMPLEMENTATION DATE: NO LATER THAN 12/31/23;
[SEE PAGE 19](#) FOR DEPARTMENT'S FULL RESPONSE**

Finding 2. The process of evaluating incidents to determine preventability is not clearly established nor documented. Furthermore, analysis of non-preventable incidents is not documented.

At present, the process of determining if a safety incident is preventable or non-preventable relies only on the Safety Officer's evaluation and the determination process is not formally documented.

As stated earlier in the report, Audit staff selected a judgmental sample of 25 incident reports. For the twenty-five (25) incident reports selected, Audit Services staff tested to determine if the incidents were evaluated by the Safety Officer. Thirteen of these incidents were preventable and twelve were non preventable. For 10 out of 13 (~77%) preventable incidents the auditor observed that a Letter of Determination was created. For the non-preventable incidents, no Letter of Determination

was available. Per the GoDurham Safety Officer, Letters of Determination are only generated for preventable incidents. The GoDurham Employee Handbook and Employment Guidelines (January 2022) states that the determination as to whether an incident could have been preventable will be made by the Safety Officer. To verify that safety incidents are adequately evaluated, analysis and determination on all safety incidents should be documented. Not documenting the justification for determination of non-preventable incidents limits the analysis of possible factors affecting safety.

Recommendation 2: The Department of Transportation in conjunction with GoDurham management should establish and formally document a process for evaluating safety incidents. It should also document the analysis and evaluation of safety incidents that support the determination of a safety incident to be cataloged as preventable or non-preventable.

Value Added: *Risk Reduction, Compliance, Efficiency*

**DEPARTMENTAL RESPONSE: MANAGEMENT CONCURS;
IMPLEMENTATION DATE: 12/31/23;
[SEE PAGE 20](#) FOR DEPARTMENT'S FULL RESPONSE**

Finding 3. Controls over the data reporting process should be strengthened.

The Department of Transportation is in compliance with National Transit Database's (NTD) Federal reporting requirements; however, controls around the process should be strengthened.

To comply with this reporting requirement, the Department of Transportation receives incident data from GoDurham through e-mail. This e-mail contains an attachment of the reports that need to be

included in the NTD reporting webpage. Department of Transportation staff key in the data per the NTD format.

The Department of Transportation staff do not keep internal records of the data submitted to NTD.

As a best practice, Department of Transportation staff should maintain records of data submitted to the NTD for future reference. Not keeping these records could potentially limit the capacity of the Department of Transportation to review and analyze data submitted to the NTD.

Recommendation 3: The Department of Transportation should keep records of the information submitted to NTD.

Value Added: Risk Reduction, Compliance

**DEPARTMENTAL RESPONSE: MANAGEMENT CONCURS;
IMPLEMENTATION DATE: 5/1/23;
[SEE PAGE 20](#) FOR DEPARTMENT'S FULL RESPONSE**

Value Added Legend



Compliance: Functioning in accordance with governing laws and regulations.



Cost Reduction: Minimizing costs related to City activities, internally or externally.



Efficiency : Performing effectively without duplication of efforts.



Risk Reduction: Minimizing risks related to reputation, financials, or personnel.

DEPARTMENTAL RESPONSE TO AUDIT RECOMMENDATIONS



Memo

Memo to: Dr. Germaine F. Brewington, Director of Audit Services
From: Sean C. Egan, Director, Department of Transportation
Date: May 17, 2023
Subject: Management Response to Recommendations in the GoDurham Bus Safety Performance Audit May 2023

Background

The Department of Transportation would like to acknowledge and thank the Audit Services Department for their thorough and professional review of the GoDurham Bus Safety Program. The Department of Transportation concurs with the three (3) recommendations that resulted from the audit. Herein are the detailed responses to each recommendation.

In late 2022, the City initiated a procurement process for the management, operations, and maintenance of the GoDurham fixed-route system under a more comprehensive “turnkey” contract structure. The turnkey contract structure will result in greater capacity for training, maintaining standard operating procedures, and tools to effectively manage and monitor safety performance. On May 15, 2023, the City Council approved a contract with RATP Dev USA, Inc. for the management, operation, and maintenance of the GoDurham fixed-route system effective July 1, 2023. As part of the transition, RATP Dev USA, Inc. will be implementing a new safety program within 180 days of the aforementioned start date. The programs noted in response to recommendations 1 and 2 will be implemented within this time frame.

Recommendation 1:

The Department of Transportation in conjunction with GoDurham management should create standard operating procedures outlining training requirements. The SOP should address the following:

- New hire training requirements;
- Incident related training requirements;
- Refresher periodic training requirements;
- Documentation to be retained to support the training and retraining provided to employees. Documentation should capture what type of training was provided (behind the wheel, closed circuit, empty bus) date, time, and the preventable incident that triggered the training.
- Process of monitoring the Safety Points Allocation System; and
- Documentation pertaining to the Safety Points Allocation System to identify the points and the related incident that triggered the points.

Management Response:

RATP Dev, Inc. will be implementing a safety program that utilizes a proprietary, in-house system called SafeTracker to manage and monitor all safety activities, including but not limited to, new-hire, incident-related, and refreshers training activities for employees. The system will also be used to store documentation related to support the training or retraining; and will also monitor employee credentials, certifications, training attendance/completion, and safety point allocations.

In addition, RATP Dev USA, Inc. will be implementing the Lytx DriveCam technology aboard all buses. DriveCam is an on-board audio and video data recording system. The system is triggered when accidents, aggressive accelerations, sudden stops, or hard cornering occurs on buses. Once triggered, the system records video and audio information which takes place seconds before, during, and after the event both inside and outside the vehicle. The cameras provide a 360-degree view, with high-quality video and night vision. The data, video, and audio are stored in a cloud-based platform that provides coaching options, customizable reporting, and professional review of more than 60 risky driving behaviors. The GoDurham ACCESS contractor utilizes this technology, and it has been proven to be an effective tool to help improve fleet safety and mitigate vehicle accidents and incidents.

These improvements as well as the items listed in the recommendation will be incorporated into Standard Operating Procedure (SOP) documents for the GoDurham fixed route system.

Implementation Date: SOP will be reviewed and approved by the Department of Transportation no later than December 31, 2023.

Recommendation 2:

The Department of Transportation in conjunction with GoDurham management should establish and formally document a process for evaluating safety incidents. It should also document the analysis and evaluation of safety incidents that support the determination of a safety incident to be cataloged as preventable or non-preventable.

Management Response:

As part of RATP Dev, Inc.'s safety program, all vehicle accidents (whether or not resulting in injuries) will be reviewed to determine accident preventability, independent of the police officer's determination or the issuance of a citation. The [National Safety Council's Accident Review Committee model](#) will be used to review accident facts and rule whether an accident was preventable or non-preventable. All documentation of preventability determination will be recorded in RATP Dev, Inc.'s SafeTracker platform and reviewed by Department of Transportation staff.

Implementation Date: December 31, 2023.

Recommendation 3:

The Department of Transportation should keep records of the information submitted to the National Transit Database (NTD).

Management Response:

As of May 1, 2023, the Department of Transportation has created a data repository to store and maintain all records received from GoDurham, including:

- Monthly Non-Major Summary Reports ([S&S-50](#))
- Major Accident Reports ([S&S-40](#))
- Other Incident Reports that are not required to be reported to NTD.

The data is stored in a new SharePoint location that is accessible by key department staff, as well as the Director of Transportation.

Implementation Date: May 1, 2023

SCOPE, METHODOLOGY, and COMPLIANCE

Scope

The scope of the audit included examining current practices related to GoDurham bus safety incidents. Audit Services Department staff performed analyses of data for the period July 2021 to March 2023. This audit did not examine practices related to GoDurham ACCESS (paratransit) services.

Methodology

Audit Services Department staff performed the following procedures to accomplish the objectives of the audit. Staff:

- Interviewed GoDurham management staff involved in bus safety;
- Reviewed the incident reporting process and identified controls in place;
- Reviewed logs from the HyperAlert system;
- Reviewed logs and incident reports from the Track-It system;
- Reviewed insurance claims reports;
- Verified completeness of data by comparing incident logs from the Track-It and HyperAlert systems;
- Reached out to the City of Charlotte to obtain and review their incident reporting process and compared it to GoDurham's process;
- Reviewed that standard operating procedures (SOP) were in place and were comprehensive;
- Assessed the control design over the safety incidents reporting process;
- Judgmentally selected a sample of 25 incidents to test that information captured in the reports was thorough;
- Judgmentally selected a sample of 25 incidents to test that reports were signed off by the Supervisor;
- Judgmentally selected a sample of 25 incidents to test that incident reports were reviewed by the Safety Officer;
- Judgmentally selected a sample of 25 incidents to test that drug and alcohol test requirements forms were completed by supervisors. Corresponding test results were also verified.
- Reviewed the National Transit Database federal reporting requirements and verified compliance with requirements;
- Interviewed the Safety Officer about the training process;
- Assessed the control design over training;
- Assessed the control design over the safety points allocation process;
- Judgmentally selected a sample of 25 incidents to test the safety points allocation process;
- Inquired of GoDurham and Department of Transportation management about monitoring activities related to bus incidents;

- Inquired of management about insurance policy and amounts paid; and
- Reviewed amounts paid to claimants as per the insurance reports.

During this engagement, the Audit Services Department staff also maintained awareness of the potential existence of fraud.

Compliance

We conducted this performance audit per generally accepted government auditing standards. Those standards require that the Audit Services staff plan and perform the audit to obtain sufficient and appropriate evidence to provide a reasonable basis for our findings and conclusions based on the audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

REPORT AT A GLANCE

| Objective | Finding | Recommendation | Department Response | Implementation Date |
|--|--|--|---|---|
| Objective: To review steps taken by GoDurham to address elements contributing to collisions and injuries involving buses. | Finding 1: Training processes need strengthening. | <p>Recommendation 1: The Department of Transportation in conjunction with GoDurham management should create standard operating procedures outlining training requirements. The SOP should address the following:</p> <ul style="list-style-type: none"> -New hire training requirements; -Incident related training requirements; -Refresher periodic training requirements; -Documentation to be retained to support the training and retraining provided to employees. Documentation should capture what type of training was provided (behind the wheel, closed circuit, empty bus) date, time, and the preventable incident that triggered the training. -Process of monitoring the Safety Points Allocation System; and -Documentation pertaining to the Safety Points Allocation System to identify the points and the related incident that triggered the points. <p>Value Added: <u>Risk Reduction, Compliance, Efficiency</u></p> | <p>RATP Dev, Inc. will be implementing a safety program that utilizes a proprietary, in-house system called SafeTracker to manage and monitor all safety activities, including but not limited to, new-hire, incident-related, and refreshers training activities for employees. The system will also be used to store documentation related to support the training or retraining; and will also monitor employee credentials, certifications, training attendance/completion, and safety point allocations.</p> <p>In addition, RATP Dev USA, Inc. will be implementing the Lytx DriveCam technology aboard all buses. DriveCam is an on-board audio and video data recording system. The system is triggered when accidents, aggressive accelerations, sudden stops, or hard cornering occurs on buses. Once triggered, the system</p> | <p>SOP will be reviewed and approved by the Department of Transportation no later than December 31, 2023.</p> |

| Objective | Finding | Recommendation | Department Response | Implementation Date |
|-----------|---------|----------------|--|---------------------|
| | | | <p>records video and audio information which takes place seconds before, during, and after the event both inside and outside the vehicle. The cameras provide a 360-degree view, with high-quality video and night vision. The data, video, and audio are stored in a cloud-based platform that provides coaching options, customizable reporting, and professional review of more than 60 risky driving behaviors. The GoDurham ACCESS contractor utilizes this technology, and it has been proven to be an effective tool to help improve fleet safety and mitigate vehicle accidents and incidents.</p> <p>These improvements as well as the items listed in the recommendation will be incorporated into Standard Operating Procedure (SOP) documents for the GoDurham fixed route system.</p> | |

| Objective | Finding | Recommendation | Department Response | Implementation Date |
|---|---|---|---|---------------------|
| Objective: To review processes in place for reporting and reviewing safety incidents related to GoDurham buses | Finding 2: The process of evaluating incidents to determine preventability is not clearly established nor documented. Furthermore, analysis of non-preventable incidents is not documented. | Recommendation 2: The Department of Transportation in conjunction with GoDurham management should establish and formally document a process for evaluating safety incidents. It should also document the analysis and evaluation of safety incidents that support the determination of a safety incident to be cataloged as preventable or non-preventable. Value Added: <i>Risk Reduction, Compliance, Efficiency</i> | As part of RATP Dev, Inc.'s safety program, all vehicle accidents (whether or not resulting in injuries) will be reviewed to determine accident preventability, independent of the police officer's determination or the issuance of a citation. The National Safety Council's Accident Review Committee model will be used to review accident facts and rule whether an accident was preventable or non-preventable. All documentation of preventability determination will be recorded in RATP Dev, Inc.'s SafeTracker platform and reviewed by Department of Transportation staff. | December 31, 2023 |

| Objective | Finding | Recommendation | Department Response | Implementation Date |
|--|--|--|--|---------------------|
| Objective: To review processes in place for reporting and reviewing safety incidents at GoDurham buses. | Finding 3: Controls over the data reporting process should be strengthened. | <p>Recommendation 3: The Department of Transportation should keep records of the information submitted to NTD.</p> <p>Value Added: <u>Risk Reduction, Compliance</u></p> | <p>As of May 1, 2023, the Department of Transportation has created a data repository to store and maintain all records received from GoDurham, including:</p> <p><i>Monthly Non-Major Summary Reports</i> (S&S-50);</p> <p><i>Major Accident Reports</i> (S&S-40);</p> <p><i>Other Incident Reports that are not required to be reported to NTD.</i></p> <p>The data is stored in a new SharePoint location that is accessible by key department staff, as well as the Director of Transportation.</p> | May 1, 2023 |

AUDIT SERVICES DEPARTMENT

The Audit Services Department serves a three-fold role at the City of Durham. Our number one goal is to provide independent, objective assurance that City processes are working effectively. Secondly, we serve as internal fraud examiners when fraud, waste, or abuse is alleged against a City employee or department. Finally, to constantly foster high ethical standards, we provide in-depth ethical training to all City employees on a rolling basis. To learn more, visit our CODI site or our page on the [City of Durham's website](#).



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Audit Services Oversight Committee (ASOC)

To maintain its organizational independence, the Audit Services Department reports to the Audit Services Oversight Committee (ASOC) at a minimum of four times a year. The ASOC approves all proposed audit plans and completed audits prepared by Audit Services staff.

The Audit Services Oversight Committee is made up of six members: two City Council Members, three resident members, and one alternate City Council Member. The current members include one certified public accountant and persons with business experience. The City Manager is an ex-officio, non-voting member of the ASOC.

Audit Services Oversight Committee Members

Chair: Nick Long
Resident Member

Vice-Chair: Matthew Ruterbories, CPA
Resident Member

Committee Members:

Elaine O'Neal
Mayor
City Council Member

Jillian Johnson
City Council Member

Emily Yeatts
Resident Member

DeDreana Freeman
Alternate
City Council Member

Non-Voting Member:
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